

Goal: EXCELLENCE IN HUMAN RESOURCES PROGRAMS

CATEGORY: Hiring

RATING: _____
(from 1 - 5)

Note: This category measures the effectiveness of HR programs throughout your Operating Administration.

Rating

1. The HR office has a loosely organized process, as opposed to a system, to hire qualified individuals. The hiring process is characterized by minimal communication with managers; little explanation of procedures/rules; delayed response to inquiries (more than 24 hours); updates provided only at clients' request. Frequent failure to comply with governing laws, regulations, and merit principles due to lack of knowledge, which results in hiring delays or personnel actions requiring corrective action.
2. The HR office has implemented a system designed to hire qualified individuals. The hiring process is characterized by occasional communication with managers, some explanation of process, delayed response to inquiries (more than 24 hours), and updates provided only at clients' request. Occasional failure to comply with governing laws, regulations, and merit principles due to lack of knowledge, occasionally results in hiring delays or personnel actions requiring corrective action.
3. The HR office has implemented a system designed to hire qualified diverse individuals from a variety to sources. The hiring process is characterized by ongoing communication with managers; ample explanation of process; timely response to inquiries (24 hours); and updates to managers. Completed assignments comply with governing laws, regulations, and merit principles.
4. The HR office has implemented a proactive approach to hire qualified diverse individuals from a variety of sources. The hiring process characterized by initial consultation to assist managers in determining recruitment needs through explanation of process, response to inquiries less than 24 hours, and ongoing updates to clients. Completed work complies with and utilizes flexibilities provided by governing laws, regulations, and merit principles.
5. In addition to #4, the HR office has implemented a system containing a full range of HR consulting services such as work force analysis, work force planning, business needs assessment, hiring options (i.e., contingent vs. permanent), and compensation determinations/options to enable client to take strategic hiring actions.

CATEGORY: Developing Employee Performance (Learning and Development, Performance Management, Awards and Recognition, and Wellness Programs)

RATING: _____
(from 1 - 5)

Note: This category measures the effectiveness of HR Programs throughout your Operating Administration.

Rating

1. HR office has learning and development, performance management, awards, recognition and wellness programs that meet minimal regulatory requirements. Programs are not evaluated to determine usage, effectiveness or applicability.

2. HR office has formal learning and development, performance management, awards, recognition and wellness programs in place that meet minimal regulatory requirements. Minimal program evaluation takes place. HR Office provides some guidance to supervisors and employees on changes to programs, regulations, and policy. HR Office provides limited guidance and dissemination of information to employees.

3. HR office has effective learning and development, performance management, awards, recognition and wellness programs in place. Periodic evaluation of program operations takes place to determine effectiveness of programs. Based on the result of periodic evaluations, specific programs are modified or revised. HR Office provides some training and guidance to supervisors and employees on changes to programs.

4. HR office has comprehensive learning and development, performance management, awards, recognition and wellness programs in place. Periodic evaluation of program operations and usage takes place to determine effectiveness and linkage to agency's performance goals and objectives. HR office systematically provides counseling and information updates to employees/managers. HR office consults with supervisors and managers on the use of programs to address individual and organizational needs.

5. HR office works proactively with supervisors, employees and focus groups for early identification of problems and issues. HR office works closely with managers, supervisors, and employees in developing and modifying programs. HR office routinely benchmarks and identifies new and innovative approaches. Managers, supervisors, and employees have been briefed on the procedures of these programs, while being provided continuous information and support. Ongoing evaluation and modification of program operations takes place to maintain consistency with agency goals and performance standards.

CATEGORY: Labor and Employee Relations (Life insurance, Health Benefits, Retirement, Alternate Work Schedules, and Telecommuting)

RATING: _____
(from 1 - 5)

Note: This category measures the effectiveness of HR programs throughout your Operating Administration.

Rating

1. HR office has basic benefit and work-life programs that meet minimal requirements. Few employees/managers are aware of or take advantage of available programs. Supervisors have limited knowledge of operating procedures used. Programs are not evaluated.

2. HR office has established benefit and work-life programs that meet all regulatory requirements and any labor contract specifications that may exist. The HR office provides information to employees/managers on the programs as requested. General operating procedures are explained to supervisors and employees. Periodic evaluation of programs takes place to ensure correctness and applicability to individual needs. The HR office participates in minimal partnership activity. HR office provides limited counseling to employees on programs.

3. HR office has effective benefit and work-life programs that meet all regulatory requirements and any labor contract specifications that may exist. The HR office participates in partnership activities - working with union representatives or other individuals to resolve deficiencies in the programs on an ad hoc basis. HR office provides some training and guidance to supervisors and employees on changes to programs, regulations, and policy. Periodic evaluation of program operations takes place to ensure compliance to agency objectives and performance standards. Based on results of evaluation, specific program is modified/revised, or corrective action is taken.

4. In addition to regulatory requirements and contract specifications, HR office has effective benefit and work-life programs that meet employee and organizational needs. HR office routinely uses partnership to achieve organizational goals and objectives pertaining to quality of work environment and work life. HR office routinely consults with supervisors and employees on program and personal issues. HR office systematically provides managers and supervisors information resulting from changing regulations and case law. HR office explores new technology to ascertain effective ways to increase customer service, satisfaction, productivity and timeliness. Ongoing evaluation and modification of program operations in collaboration takes place, along with corrective action for identified problems.

5. Partnership activities are fully integrated into the organizational culture. HR office works with managers, employees, and employee representatives to proactively change or modify existing programs. HR office works with task groups to develop new programs or discuss ways of improving work life programs. HR office implements new technology previously identified as feasible to achieve organizational and program effectiveness. Ongoing interaction with supervisors and employees provides for early identification of problems and issues. Program evaluation is made to determine correctness of operations, consistency with customer needs and compliance to organizational goals and objectives.

CATEGORY: ACCURATE, TIMELY, AND EFFECTIVE USE OF DATA

RATING: _____
(from 1 - 5)

Rating

1. The HR office fails to effectively use available "core" automated systems to process basic personnel and pay transactions or generate routine reports for its customers. For example, the office has a high rate of transaction errors or fails to process transactions on a timely basis. The HR office shows little or no interest in using automation to improve its operations.
2. The HR office makes good use of core HR systems for processing basic transactions as evidenced by its relatively low rate of customer complaints about errors or timeliness. However, the office shows little interest in providing enhanced reporting for managers or in pursuing technology for improving delivery of other routine HR services.
3. In addition to making good use of core HR systems for processing basic transactions and routine reports, the HR office uses automation to provide enhanced reporting, e.g., ad hoc demographic analysis for use by managers in workforce planning. The HR office also explores technology for improving delivery of other routine HR services, as evidenced by attendance at meetings, demo's, expo's, etc., and in its other efforts to stay abreast of advances in HR technology.
4. In addition to all of #3 above, the HR office actively participates in modal, department, or inter-agency efforts to improve existing systems or acquire new systems that will improve the delivery of HR services. In addition, the HR office regularly budgets for new automation projects, computer hardware and software upgrades, and links technology efforts to modal and/or departmental strategic goals.
5. In addition to all of #4 above, the HR office "blazes new trails" in HR Technology by providing leadership or other resources for research or pilot projects that have the potential to redesign traditional HR processes in ways that provide significant new services, efficiencies, and/or other benefits to DOT managers and employees. The HR office also actively pursues opportunities with other operating administrations and other agencies in sharing automation/information technology and systems.

Goal: QUALITY WORKFORCE

CATEGORY: Core Competency

RATING: _____
(from 1 - 5)

Rating

1. Only the most basic planning has been given to implementing and measuring the HR staff core competencies. While some of the competencies have been identified in individual training plans, the emphasis is still on individuals presenting training requests on an ad hoc manner.
2. Most HR staff has taken inventory of core competencies against the following identified generic core competencies (technical skills, customer relations, creative thinking, receptivity to change, organization development, computer literacy, communication skills, results-oriented focus, integration). Gaps in core competency areas have begun to be identified and some plans have been prepared for individuals to address those gaps.
3. Plans are in place to enable all members of HR staff to meet core generic competencies that will enable them to deliver quality HR services and programs. Most members of HR staff have attained proficient level on core competencies as identified above. In addition any office-wide gaps in generic competencies (e.g., computer literacy) have been identified and plans to address are underway.
4. HR staff have Individual Development Plans in place to address areas of improvement needed in core generic standards. Most members of staff have attained high levels of accomplishment on core competencies as observed by HR management and confirmed by customer feedback. Most HR staff members have developed a solid understanding of competency areas and can resolve a wide variety of problem areas for diverse clients throughout the serviced organization. Some members have attained proficiency on additional competencies specifically developed for their positions.
5. HR staff have generally attained a solid accomplishment level in the generic standards and have identified additional competencies needed to effectively deliver HR services and products for their clients. Client input has been requested and received and additional competencies have been identified for HR staff members using this input. Each HR staff member has an Individual Development Plan tailored to maintain and improve attained proficiency in the generic standards as well as the additional competencies called for in that organization (i.e., knowledge of client business areas).

CATEGORY: HR EMPLOYEE CONTINUOUS LEARNING AND DEVELOPMENT

RATING: _____
(from 1 - 5)

Rating

1. The HR Office has no system to ensure HR employee continuous learning and development.
2. Based on HR employee initiative, developmental activities are scheduled for HR employees on an ad hoc basis.
3. Opportunities for learning and developmental activities are available to all HR employees enabling them to meet needs for knowledge, skills and abilities bearing directly upon the performance of official duties.
4. Annually, an HR office assessment is conducted to analyze learning and development needs of the HR organization in terms of competencies needed for successful mission accomplishment, as well as an assessment of the needs of each employee. Guidance, resources, and opportunities are provided which enable all HR employees to build the job competencies, computer and technology capabilities, work management skills, flexibility and organizational knowledge required to achieve the HR Office's strategic goals. If financial resources are unavailable for learning and development due to budget constraints, other creative means are used to develop each employee, such as developmental assignments, details and available no-cost training.
5. An effective continuous learning culture is firmly entrenched throughout the HR office. Annually, each HR employee completes and implements a detailed Individual Development Plan based on the results of the organizational and employee assessment conducted by the HR office. Most, if not all, HR employees are actively engaged in a variety of continuous learning activities. The HR office is a recognized leader in continuous learning and development and shares its expertise with its customers.

Goal: QUALITY WORKFORCE

CATEGORY: ATTRACTING AND RETAINING A PROFESSIONAL HR WORKFORCE

RATING: _____
(from 1 - 5)

Rating

1. The turnover rate of HR staff is unusually high. The HR office has not taken steps to attract and retain a diverse, professional workforce.
2. The turnover rate, while not unusually high, is still a concern. The HR office has discussed ways to assess workforce needs and identify barriers to attracting and retaining a diverse, professional workforce.
3. The turnover rate is at an acceptable level. The HR office tracks and analyzes turnover, and engages HR employees and managers in developing initiatives to attract and retain a diverse, professional workforce. Turnover is stable.
4. The turnover rate is acceptable and stable. The HR office projects current and future staffing needs; analyzes employee and customer surveys, and has implemented a plan to attract and retain a diverse, professional HR workforce.
5. The turnover rate is at an ideal level. The HR office is highly effective in attracting and retaining a diverse, professional HR workforce.

Goal: MISSION GOALS

CATEGORY: BEST PRACTICES

RATING: _____
(from 1 - 5)

Rating

1. The HR manager has instituted no organized effort to improve personnel practices. Innovation is generally the result of some action by staff acting independently.
2. The HR manager encourages staff to be innovative and to make efforts to improve personnel practices and procedures. Innovation is the result of staff members actions in response to anecdotal suggestions and feedback.
3. The HR manager encourages staff to be innovative and to make efforts to improve personnel practices and procedures. Staff members actively participate in intermodal/interagency HR counterpart groups to share and obtain information on better practices by HR offices. Staff attends HR conferences to learn about better practices used by other Federal agencies and the private sector. Based on this collection of information better procedures are implemented by the HR office.
4. In addition to #3, the HR office systematically analyzes trends and best practices, sets specific improvement goals that target practices or procedures, and can demonstrate how adopted practices have positively impacted processes and results. Or the HR office moves beyond strict trend and best practice analysis and seeks out benchmarking partners to improve processes. Many of the HR staff have been trained in how to benchmark, and some benchmarking activities are now underway.
5. The HR manager assigns staff to continually conduct trend analysis, identify best practices, and to benchmark processes, products and services with other DOT Administrations, other Federal agencies and the private sector. As a result, the HR office has instituted a fundamental rethinking of its business processes to achieve dramatic improvements in critical areas of performance. The knowledge gained is shared with the DOT HR community and other Federal agencies.

Goal: MISSION GOALS

CATEGORY: PLANNING

RATING: _____
(from 1 - 5)

Rating

1. The HR office has no established short term or strategic planning process consistent with its overall goals and objectives. HR work performed is typically reactive, not proactive.
2. The HR office does the minimum strategic planning required by the Operating Administration to provide input to the Administration's strategic plan, if required. The data is provided by the HR Manager with little or no input from the HR staff to the planning process.
3. The HR staff meets at least annually to plan HR activities and priorities for the next year and produce a long and short-range plan consistent with the DOT Strategic Plan. All HR employees have the opportunity to provide input to the plan. A focus toward achieving improved performance over time is set out in the long-range plan.
4. The HR Staff meets at least annually to develop and/or update the strategic plan. The plan is based on customer input obtained by surveys or focus group activities. Goals and results-oriented outcomes are developed and communicated to all HR employees and the customers they service. Customers are provided periodic updates on accomplishments and are continuously invited to provide feedback on services.
5. In addition to #4, HR Specialists regularly attend staff meetings for the organizations they service and are active participants in those organizations' planning processes providing expert HR consultation services. The HR strategic plan reflects the HR initiatives that are discussed and developed at these planning sessions. HR is "at the table" with all of their customers.

Goal: FINANCIAL PERSPECTIVE

CATEGORY: MAXIMIZE COST EFFECTIVENESS

RATING: _____

(from 1 - 5)

Rating

1. The HR office does not emphasize the importance of cost management, nor does it take specific initiatives to reduce waste and costs.
2. The HR office recognizes the importance of effective cost management, but has no system to review wastes or identify opportunities for cost savings. The HR office introduces few initiatives to reduce and/or achieve cost savings.
3. The HR office identifies cost savings through eliminating waste, improving processes, providing an efficient and effective organizational structure, and automating labor intensive processes where feasible. Due to budget constraints, there is no formalized tracking system in place to report actual costs of services and products. Where possible, however, HR managers take initiatives to reduce waste and provide cost savings.
4. The HR office systematically tracks direct and indirect costs (i.e., salaries, benefits, awards, equipment, supplies, etc.) to determine the proper balance between cost effectiveness and providing quality services and products. Labor intensive processes have been re-engineered and efficient and effective organizational structures exist. Bottom line cost measurement systems effectively assess and compare established performance measures (e.g., cycle time, rework rates, labor rates, serviced ratios and functional program costs) to establish baseline data.
5. In addition to the cost saving methods described in 4 above, viable comparative cost standards are used to benchmark similar HR functions. Bottom line cost measurement systems effectively assess and compare established performance measures (e.g., cycle time, rework rates, labor rates, serviced ratios and functional program costs) against other HR organizations to identify opportunities for alternative delivery sources (e.g., outsourcing, franchising, contracting). The HR office recognizes baseline and cost data as a valuable tool for marketing and selling the benefits of HR activities to their operating administration and the enhancement of their role as strategic business partners with top leadership.